

PATENT APPLICATION  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

SECTOR

Applicant(s): Wang et al.

Docket: YOR9-2001-0451US1 (8728-528)

Serial No.: 09/925,596

Filed: August 9, 2001

For: **METHOD AND APPARATUS FOR AUTOMATICALLY UPDATING  
STOCK AND MUTUAL FUND GRAMMARS IN SPEECH  
RECOGNITION SYSTEMS**

Assistant Commissioner for Patents  
Washington, DC 20231

RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF APPLICATION - FILING DATE GRANTED

Sir:

In response to the Notice to File Missing Parts of Application - Filing Date  
Granted, dated September 17, 2001, Applicant encloses herewith a properly executed original  
Declaration and Power of Attorney in compliance with 37 C.F.R. §1.63 along with a copy of  
the Notice to File Missing Parts of Application - Filing Date Granted and substitute drawings  
Figures 1-2.

Please charge the required fee of \$130.00 to cover the surcharge under 37  
C.F.R. §1.16(e) to Deposit Account No. 50-0510/IBM (Yorktown Heights). Also, in the event  
any additional extensions of time are required, please treat this paper as a petition to extend the  
time as required and charge Deposit Account No. 50-0510/IBM. **TWO (2) COPIES OF  
THIS SHEET ARE ENCLOSED.**

Respectfully submitted,

Frank Chau

Registration No. 34,136

Attorney for Applicant(s)

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(516) 357-0091  
FC/GJR:mel

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

I hereby certify that this correspondence is being deposited with the United States Postal Service as first  
class mail, postpaid in an envelope, addressed to the: Assistant Commissioner for Patents, Washington, D.C.  
20231 on October 12, 2001.

Dated: 10/12/01

Frank Chau



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/925,596	08/09/2001	Zhong-Hua Wang	YOR9-2001-0451US1 (8728 -

CONFIRMATION NO. 5429

FORMALITIES LETTER



\*OC000000006565428\*

Frank Chau  
F. CHAU & ASSOCIATES, LLP  
Suite 501  
1900 Hempstead Turnpike  
East Meadow, NY 11554

Date Mailed: 09/17/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

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*Rebeca*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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